

**Form PTO-1449** (modified)  
List of Patents and Publications  
For Applicant's Information  
Disclosure Statement  
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-01600

SERIAL NO: 09/885,817

APPLICANT: Shayne Young

FILING DATE: June 19, 2001

GROUP: 2182

**U.S. PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
JL	B1	4,674,044	6/1987	Kalmus, et al.			
JL	B2	5,347,452	9/1994	Bay, Jr.			
JL	B3	5,787,402	7/1998	Potter, et al.			
JL	B4	5,950,176	9/1999	Keiser, et al.			
JL	B5	6,014,643	1/2000	Minton			
JL	B6	6,016,483	1/2000	Rickard, et al.			
JL	C1	6,260,025	7/2001	Silverman, et al.			
JL	C2	6,006,206	12/1999	Smith, et al.			
JL	C3	5,987,432	11/1999	Zusman, et al.			

**FOREIGN PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

JL	B7	Press Release, "3DStockCharts.com Teams Up With ECN Industry Leader," October 1999, pp. 1-2. ✓					
JL	B8	"Real Tick III Tutorial," © 1999 The Momentum Trader and Swingtrader.net, 6 pgs. ✓					
JL	B9	"Using the Order Entry Screen in Real Tick III," January 1999, pp. 1-2. ✓					
JL	AA	Stand & Poor's ComStock, "Xpresso," 5 pages, © 1998 Standard & Poor's ComStock ✓					

EXAMINER:

*JL Tully*

DATE CONSIDERED:

3/27/2006

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

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JL	C4	5,966,531	10/1999	Skeen, et al.			
JL	C5	5,924,083	7/1999	Silverman, et al.			
JL	C6	5,924,082	7/1999	Silverman, et al.			
JL	C7	5,727,165	3/1998	Ordish, et al.			
JL	C8	5,195,031	3/1993	Ordish			
JL	C9	5,136,501	8/1992	Silverman, et al.			
JL	C10	5,077,665	12/1991	Silverman, et al.			
JL	C11	5,034,916	7/1991	Ordish			
JL	C12	5,003,473	3/1991	Richards			

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**FOREIGN PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

JL	C13	"gr8trade from Protrader User's Manual," Protrader Securities Corporation, pp.1-69.; 3/2000					
JL	C14	Abell, et al.; "The Sixth Market: The Electronic Investor Revolution;" 12/2000					

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EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
JL	C15	4,750,135	6/1988	Boilen			
JL	C16	4,745,559	5/1988	Willis, et al.			
JL	C17	6,278,982	8/2001	Korhammer, et al.			

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EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
JL	D1	6,317,728 B1	11/13/01	Kane			
JL	D2	5,819,238	10/06/98	Fernholz			
JL	D3	5,640,505	06/17/97	Hearn et al.			

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**FOREIGN PATENT DOCUMENTS**

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

JL	D4	International Search Report, PCT/US02/16267, mailed August 20, 2002.					

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EXAMINER: *My Htg*

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# ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of  
Invention

**METHODS AND SYSTEMS FOR IMPLEMENTING A  
FORWARD CONVERSION SECURITIES STRATEGY**

Application Number: 09/885817  
Confirmation Number: 4380  
First Named Applicant: Shayne Young  
Attorney Docket Number: 5226-01600  
Art Unit: 2182  
Search string: ( 6477580 or 6421653 or 6446871 or 6247000  
or 6272474 or 6173270 or 6321212 or 4566066  
or 6505174 or 6195647 or 5101353 or 4942616  
or 5915209 or 5999918 or 6112189 ).pn.

## US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

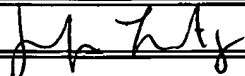
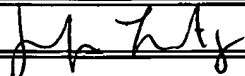
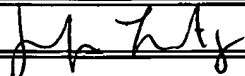
Init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
JL	1	6477580	2002-11-05	Bowman-Amuah			
JL	2	6421653	2002-07-16	May			
JL	3	6446871	2002-09-10	Buckley et al.			
JL	4	6247000	2001-06-12	Hawkins et al.			
JL	5	6272474	2001-08-07	Garcia			
JL	6	6173270	2001-01-09	Cristofich et al.			
JL	7	6321212	2001-11-20	Lange			
JL	8	4566066	1986-01-21	Towers			
JL	9	6505174	2003-01-07	Keiser et al.			
JL	10	6195647	2001-02-27	Martyn et al.			
JL	11	5101353	1992-03-31	Lupien et al.			
JL	12	4942616	1990-07-17	Linstroth et al.			
JL	13	5915209	1999-06-22	Lawrence			
JL	14	5999918	1999-12-07	Williams et al.			
JL	15	6112189	2000-08-29	Rickard et al.			

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Examiner Name	Date
<i>ps hly</i>	3/27/2004

Electronic Version v18  
Stylesheet Version v18.0

<b>Title of Invention</b>	<b>METHODS AND SYSTEMS FOR IMPLEMENTING A FORWARD CONVERSION SECURITIES STRATEGY</b>																																																												
<p>Application Number: 09/885817 Confirmation Number: 4380 First Named Applicant: Shayne Young Attorney Docket Number: 5226-01600 Art Unit: 2182 Search string: ( 5193056 or 4752877 or 6415267 or 6029146 or 5297031 or 6035287 ).pn.</p> <p><b>US Patent Documents</b></p> <p>Note: Applicant is not required to submit a paper copy of cited US Patent Documents</p> <table border="1"><thead><tr><th>Init</th><th>Cite.No.</th><th>Patent No.</th><th>Date</th><th>Patentee</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td>JL</td><td>1</td><td>5193056</td><td>1993-03-09</td><td>Boes</td><td></td><td></td><td></td></tr><tr><td>JL</td><td>2</td><td>4752877</td><td>1988-06-21</td><td>Roberts et al.</td><td></td><td></td><td></td></tr><tr><td>JL</td><td>3</td><td>6415267</td><td>2002-07-02</td><td>Hagan</td><td></td><td></td><td></td></tr><tr><td>JL</td><td>4</td><td>6029146</td><td>2000-02-22</td><td>Hawkins et al.</td><td></td><td></td><td></td></tr><tr><td>JL</td><td>5</td><td>5297031</td><td>1994-03-22</td><td>Guterman et al.</td><td></td><td></td><td></td></tr><tr><td>JL</td><td>6</td><td>6035287</td><td>2000-03-07</td><td>Stallaert et al.</td><td></td><td></td><td></td></tr></tbody></table> <p><b>Signature</b></p> <table border="1"><thead><tr><th>Examiner Name</th><th>Date</th></tr></thead><tbody><tr><td></td><td>3/27/2006</td></tr></tbody></table>		Init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass	JL	1	5193056	1993-03-09	Boes				JL	2	4752877	1988-06-21	Roberts et al.				JL	3	6415267	2002-07-02	Hagan				JL	4	6029146	2000-02-22	Hawkins et al.				JL	5	5297031	1994-03-22	Guterman et al.				JL	6	6035287	2000-03-07	Stallaert et al.				Examiner Name	Date		3/27/2006
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Title of Invention	METHODS AND SYSTEMS FOR IMPLEMENTING A FORWARD CONVERSION SECURITIES STRATEGY
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Application Number: 09/885817  
Confirmation Number: 4380  
First Named Applicant: Shayne Young  
Attorney Docket Number: 5226-01600  
Art Unit: 2182  
Examiner: Unknown Unknown  
Search string: ( 5809483 or 5946666 or 6401105 or 6408282  
or 6510419 or 20020188548 or 20020178099 or  
20020194111 or 20030065598 or 20030083974  
or 20030041006 ).pn.



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### US Patent Documents

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init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
JL	1	5809483	1998-09-15	Broka et al.			
JL	2	5946666	1999-08-31	Nevo et al.			
JL	3	6401105	2002-06-04	Carlin et al.			
JL	4	6408282	2002-06-18	Buist			
JL	5	6510419	2003-01-21	Gatto			

### US Published Applications

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init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
JL	1	20020188548	2002-09-15	Bunda	A1		
JL	2	20020178099	2002-11-28	Young	A1		
JL	3	20020194111	2002-12-19	Young	A1		
JL	4	20030065598	2003-04-03	Bunda	A1		
JL	5	20030083974	2003-05-01	Bunda	A1		



SL	6	20030041006	2003-02-27	Bunda	A1
<b>Signature</b>					
<b>Examiner Name</b>			<b>Date</b>		
John R. Hy			3/27/2006		

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